

**CERTIFICATE OF MAILING/FACSIMILE TRANSMISSION (37 CFR 1.8)**

I hereby certify that this paper (along with any paper referred to as being transmitted therewith) is ( ) being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop \_\_\_\_\_, Commissioner for Patents, P.O. Box. 1450, Alexandria, Virginia 22313-1450 **OR** ( ) being transmitted by facsimile to the U.S. Patent and Trademark Office. (Fax No. 703-XXX-XXXX) [Group XXXX] (\_\_\_\_\_ pages). This facsimile is being sent from (908) 429-3650.

\_\_\_\_\_  
(Print Name)

Date: September 24, 2003

\_\_\_\_\_  
(Signature)

PATENT APPLICATION **RECEIVED**

SEP 25 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE **OFFICE OF PETITIONS**

In re Patent Application

Takamasa HARADA et al.

Art Unit: TO BE ASSIGNED

Serial No. 10/608,392, filed June 27, 2003

Examiner: TO BE ASSIGNED

For: COATING COMPOSITION

**PETITION UNDER 37 C.F.R. § 1.181**

September 24, 2003

Office of Petitions  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

### **STATEMENT OF FACTS**

This is a petition for the above captioned application to be accorded a filing date of June 27, 2003.

With regard to this petition, applicants enclose copies of the following documents which were filed with the United States Patent and Trademark Office on September 3, 2003:

Exhibit I: Letter dated September 3, 2003

Exhibit II: Copy of postcard stamped "OIPE JC141 Patent and Trademark Office SEP 03 2003" showing receipt of documents listed in Exhibit I above.

Exhibit III: The following documents listed in Exhibit I -

1. Copy of postcard receipt from the USPTO indicating 18 pages of Specification was not received.
2. Copy of postcard sent to USPTO.
3. Copy of Specification (pages 1 – 18) sent with Exhibit I.

Exhibit IV: Copy of Certificate of Mailing "Express Mail" (37 CFR 1.10) for Utility Patent Application Consisting of Pages 1 through 18 dated June 27, 2003

Exhibit V: Copy of Certificate of Mailing "Express Mail" (37 CFR 1.10) for Specification - Pages 1 through 18 dated September 3, 2003

The rest of the documents outlined in Exhibit I are within the prosecution history file at the USPTO.

Applicants have not enclosed the remaining documents listed in Exhibit I since they are within the prosecution history file at the USPTO.

Applicants outlined the circumstances regarding this case in Exhibit I<sup>1</sup>. In Exhibit I, page 3, applicants requested that the LETTER (Exhibit I herein) be treated as a petition. The Patent Office should consider this Petition and the information found in the LETTER (Exhibit I) and the previously filed documents to be applicants' more formal petition and statement of facts.

Given the information presented in Exhibit I and the foregoing documents, applicants believe they are entitled to the filing date of June 27, 2003 for the present application. If the Patent Office is of the opinion that applicants are not entitled to the filing date of June 27, 2003, then they submit that they are entitled to a filing date of September 3, 2003, the date that all required documents for a filing date under 37 C.F.R. § 1.53.

**PETITION FEE UNDER 37 C.F.R. § 1.17(h)**

In Exhibit I, page 3, the Patent Office was authorized to charge the appropriate petition fee under 37 C.F.R. § 1.17(h) to Deposit Account No. 03-2060. The Patent Office is again authorized to charge the appropriate petition fee under 37 C.F.R. § 1.17(h) to Deposit Account No. 03-2060 as well as debit any underpayment or credit any overpayment to the same Deposit Account for those necessary filing fees under 37

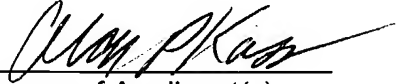
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<sup>1</sup> Applicants note that from the postcard sent to the USPTO (Exhibit I) as well as its Certificate of Mailing by "Express Mail" (37 CFR 1.10) that the Letter (Exhibit I) is 2 pages, although applicants enclose herewith a 3 page letter. Applicants believe the "2 pages" to be a typographical error and also believe that 3 pages of the Letter (Exhibit I) are within the prosecution history file within the USPTO.

Serial No. 10/608,392  
Filed June 27, 2003

C.F.R. §§ 1.16 and 1.17. A duplicate copy of this Petition under 37 C.F.R. § 1.181 (without Exhibits) is enclosed for accounting purposes.

Respectfully submitted,



Attorney of Applicant(s)  
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Customer No. 26,289

# **EXHIBIT I**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application

Takamasa HARADA et al.

Art Unit: TO BE ASSIGNED

Serial No. 10/608,392, filed June 27, 2003

Examiner: TO BE ASSIGNED

For: COATING COMPOSITION

LETTER

September 3, 2003

Mail Stop Patent Application  
Attention: Initial Patent Examination Division  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Please accept the following papers for filing:

1. Copy of postcard receipt from the USPTO indicating 18 pages of Specification was not received.
2. Express Mailing Label No. EV068893142 US
3. Copy of postcard sent to USPTO
4. Copy of Certificate of Mailing by Express Mail dated June 27, 2003 for Utility Patent Application Transmittal
5. Copy of Utility Patent Application Transmittal (pages 1 – 4)
6. Copy of Certificate of Mailing by Express Mail dated June 27, 2003 for Preliminary Amendment
7. Copy of Preliminary Amendment (pages 1 – 4)
8. Copy of Certificate of Mailing by Express Mail dated June 27, 2003 for Declaration for Utility Patent Application

**Express Mail No. EV068893195 US**

9. Copy of Declaration for Utility or Design Patent Application (pages 1-2)
10. Copy of Certificate of Mailing by Express Mail dated June 27, 2003 for Utility Patent Application
11. Copy of Certificate of Mailing by Express Mail dated June 27, 2003 for General Transmittal Sheet
12. Copy of Transmittal Letter dated June 27, 2003
13. Copy of Cover Sheet to Examiner Donald R. Wilson dated June 27, 2003; Copy of Auto-Reply Facsimile Transmission dated June 27, 2003 for Cover Sheet to Examiner Donald R. Wilson indicating attached Petition for One-Month Extension of Time; Copy of Certificate of Transmission by Facsimile (37 CFR 1.8) dated June 27, 2003 for Petition for One-Month Extension of Time; Copy of One-Month Extension of Time dated June 27, 2003; and Copy of Certificate of Mailing by Express Mail dated June 27, 2003 for Petition for One-Month Extension of Time
14. Copy of Specification (pages 1 – 18)
15. Exhibit A - Copy of Item 1
16. Exhibit B – Deposit Account Statement (pages 1 – 3)
17. Two-Month Extension of Time for 1998JP313, Serial No. 09/763,927; Auto-Reply Facsimile Transmission dated September 3, 2003 thereof; and Certificate of Transmission by Facsimile (37 CFR 1.8) dated September 3, 2003
18. Notice of Appeal for Docket No. 1998JP313, Serial No. 09/763,927; Auto-Reply Facsimile Transmission dated September 3, 2003 thereof; and Certificate of Transmission by Facsimile (37 CFR 1.8) dated September 3, 2003

#### REMARKS

Reconsideration regarding the receipt of applicants' patent application filed under the serial number and filing date as captioned above is requested. Items 3 to 14 reflect copies of what applicants filed on June 27, 2003. The remaining items are self-explanatory.

Applicants received its reply postcard ("RECEIVED IN THE UNITED STATES PATENT AND TRADEMARK OFFICE") on August 8, 2003 (copy enclosed; Exhibit A). On the postcard it is stamped by the PTO (originally in red) that "The PTO did not receive the following listed item(s) specification 18 pages".

Applicants believe that the specification was sent together with Items 3 to 13 listed above as there is no indication on the reply postcard (Exhibit A) that other documents were not received by the USPTO.

**Express Mail No. EV068893195 US**

Serial No. 10/608,392  
Filed June 27, 2003

A copy of the specification that applicants believed they filed on June 27, 2003 is enclosed as Item 14 above.

Additionally, applicants enclose a copy of a two month extension of time and a Notice of Appeal, both of which were filed in the parent case to this application, Serial No. 09/763,927, filed February 26, 2001 (see Items 18 and 19 above).

Applicants do not believe that another filing fee is due since applicants' Deposit Account, 03-2060 has been charged for the filing fee on July 2, 2003 (copy enclosed; information for other cases has been redacted; Exhibit B). If applicants are not correct, the United States Patent and Trademark Office is authorized to charge the basic filing fee under 37 C.F.R. § 1.16(a) of \$750.00 as well as the other necessary filing fees under 37 C.F.R. §§ 1.16 and 1.17 to Deposit Account No. 03-2060.

Applicants believe they are entitled to the serial number and filing date for the present application (applicants' Docket No. 1998JP313/CIP) as captioned above and on the postcard (Serial No. 10/608,392, filed June 27, 2003). The PTO may consider this a petition for a filing date, if necessary, and charge the appropriate petition fee under 37 C.F.R. § 1.17(h).

Applicants' representative spoke with the Office of Initial Patent Examination on September 3, 2003 and was informed that a notice would be sent out, but no timing as to the notice was mentioned. This LETTER and the accompanying documents are being sent in anticipation of such notice.

A duplicate of this paper is enclosed for Deposit Account charging.

Respectfully submitted,



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Telefax: (908) 429-3650

Customer No. 26,289

**Express Mail No. EV068893195 US**



## **EXHIBIT II**

**RECEIVED IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Attorney's Docket No. 2003JP313/CIP  
Filing Date: June 27, 2003  
Serial No. 10/608,392

Receipt is hereby acknowledged of:

- 1) Letter (2 pages)
  - 2) Exhibit B (3 pages)
  - 3) Specification consisting of pages 1 through 18
  - 4) Copy of Utility Patent Application Transmittal (4 pages)
  - 5) Copy of Preliminary Amendment (4 pages)
  - 6) Copy of Declaration for Utility Patent Application (2 pages)
  - 7) Copy of Petition for One-Month Extension of Time dated June 27, 2003
  - 8) Copy of Petition for 2-Month Extension of Time dated September 3, 2003
  - 9) Certificate of Mailing by Express Mail & Facsimile Transmittal for items 1 through 10
  - 10) Copy of Exhibit A (1 page)
- Sent by Express Mail on September 3, 2003  
Mail Box Patent Application



Commissioner of Patents  
U.S. Patent & Trademark Office  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

## **EXHIBIT III**

The PTO did not receive the following  
listed item(s) specification 18 pages

**RECEIVED IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Attorney's Docket No. 1998JP313/CIP  
Filing Date: June 27, 2003  
Serial No. 09/763,927  
Receipt is hereby acknowledged of:

- 1) Patent Application consisting of pages 1 through 18
- 2) General Transmittal Letter - 1 page
- 3) Declaration for Utility Patent Application consisting of page 1 through 2
- 4) Utility Patent Application Transmittal consisting of pages 1 through 4
- 5) Preliminary Amendment consisting of pages 1 through 4
- 6) Copy of Auto-Reply Facsimile Transmission (09/763,927)
- 7) Copy of Cover Sheet to Examiner Wilson (09/763,927)
- 8) Copy of Petition for One-Month Extension of Time for 09/763,927
- 9) Certificate of Mailing by Express Mail for items 1 through 8

~~and Associate Counsel of Attorney in fact of said Express Mail~~

Sent by Express Mail on June 27, 2003

Express Mail No. EV 068893142 US

Sent to:

**MAIL STOP Patent Application**

Commissioner of Patents

U.S. Patent & Trademark Office

P.O. Box 1450

Alexandria, Virginia 22313-1450

00746 U.S. PTO

10/608392



06/27/03

AUG - 8 2003

**LegalStar USPTO Acknowledgment Postcard**

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2

**RECEIVED IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Attorney's Docket No. 2003JP313/CIP

Filing Date: June 27, 2003

Serial No. 10/608,392

Receipt is hereby acknowledged of:

- 1) Letter (2 pages)
- 2) Exhibit B (3 pages)
- 3) Specification consisting of pages 1 through 18
- 4) Copy of Utility Patent Application Transmittal (4 pages)
- 5) Copy of Preliminary Amendment (4 pages)
- 6) Copy of Declaration for Utility Patent Application (2 pages)
- 7) Copy of Petition for One-Month Extension of Time dated June 27, 2003
- 8) Copy of Petition for 2-Month Extension of Time dated September 3, 2003
- 9) Certificate of Mailing by Express Mail & Facsimile Transmittal for items 1 through 10
- 10) Copy of Exhibit A (1 PAGE)

Sent by Express Mail on September 3, 2003

Mail Box Patent Application

Commissioner of Patents

U.S. Patent & Trademark Office

P.O. Box 1450

Alexandria, Virginia 22313-1450

**Complete Return Address Label And  
Affix To Front Of Postcard**

## COATING COMPOSITION

BACKGROUND OF THE INVENTION

5        This application is a continuation-in-part application of  
Serial No. 09/763,927, filed February 26, 2001, the contents of  
which are hereby incorporated herein by reference.

Field of the Invention

10        The present invention relates to coating compositions  
useful for forming protective films with which smooth and  
transparent surfaces can be obtained. More particularly, the  
present invention relates to coating compositions useful for  
forming protective films on color filters that have been formed  
15 on top of glass or transparent materials.

Background Art

      In recent years, liquid crystal displays have been  
extensively used in audiovisual equipment, and electronic  
devices such as personal computers. In particular, the demand  
20 for color displays is now rapidly increasing because they are  
excellent in visibility and amount of information. To produce  
color displays, color filters in the shape of, for instance,  
mosaic or stripes are usually formed on transparent substrates  
such as glass by, for example, a dyeing, printing, pigment  
25 dispersing or electrodeposition process.

      In general, these color filters are produced so that their  
thickness will become approximately 1 micron, where it is  
inevitable that the color filters have surface roughness in the  
submicron range. In color STN displays, this roughness affects  
30 the quality of display (unevenness in color, etc.). In order to  
eliminate unevenness in display, it is necessary to make the  
surface roughness of the color filters 0.1 microns or less. To  
obtain such even surfaces, thermosetting acrylic resins have  
conventionally been applied to the surfaces of the color  
35 filters.

Not only in liquid crystal display devices but also in charge coupled devices, the surfaces of color filters require protection. Protective films are herein needed to protect these color filters from severe conditions under which post-treatments are conducted, for example, from solvents, acidic or alkaline solutions, etc. that are used for dipping treatment, and from high-temperature heat that is generated while electrode layers are formed by sputtering. Such protective films are required to be smooth, strong, highly transparent, and excellent in resistance to heat and chemicals, that is, not undergoing change in color and quality for a long period of time. To meet these requirements, thermosetting resins including epoxy copolymers have so far been used.

Conventionally-known many coating compositions for forming protective films are of two-bottle type. In the case of two-bottle-type coating compositions, it is necessary to mix two liquids before use, and to immediately use the mixture once they are mixed. In addition, the coating compositions can produce, depending on their compositions, sublimates while they are hardening; the sublimates are crystallized to give foreign particles, and these foreign particles can cause troubles during the production of liquid crystal panels. There have therefore been demanded coating compositions that never give crystallized materials.

Japanese Patent Laid-Open Publication No. 216307/1985 describes protective films made from glycidyl acrylate and polyhydric carboxylic anhydrides or acids. Agents for forming these protective films can be obtained as either one-bottle- or two-bottle-type coating compositions. In general, one-bottle-type coating compositions are easy for use, but poor in storage stability. The above one-bottle-type coating compositions hardened and became unusable within about 1 month. It was also confirmed that films made from these one-bottle-type coating compositions were poor in adhesion, transparency and evenness as compared with films made from the two-bottle-type coating compositions. On the other hand, coating compositions of two-

bottle type are, in general, excellent in storage stability, and can provide films having excellent adhesion and high transparency; however, it is necessary to mix two liquids before use, and the two liquids rapidly reacts with each other once  
5 mixed. In the case of the above two-bottle-type coating compositions, it was necessary to use the mixture within 2 days after mixing two liquids.

#### SUMMARY OF THE INVENTION

10 We now found that coating compositions having high storage stability, capable of providing excellent protective films can be obtained by the combination use of specific polymers and crosslinking agents, and accomplished the present invention on the basis of this finding.

15 An object of the present invention is therefore to provide coating compositions that are essentially stable and that can provide excellent protective films.

Another object of the present invention is to provide one-bottle-type coating compositions that are easy for use, that are  
20 excellent in storage stability, and that can provide protective films excellent in adhesion, transparency and evenness.

A coating composition according to the present invention comprises:

(A) at least one polymer containing carboxyl group, having  
25 a weight-average molecular weight, calculated in terms of styrene, of 5,000 to 200,000, an acid value KOH of 10 to 200 mg/g, and a glass transition temperature of 50 to 250°C,

(B) a polyfunctional epoxide-group-containing compound having at least one benzene ring or 5-, 6-, or 7-membered  
30 heterocycle ring containing at least one heteroatom selected from nitrogen, oxygen or sulfur or cyclohexyl group or combinations thereof, and two or more epoxy groups, serving as a crosslinking agent,

(C) a reaction accelerator, and

35 (D) an organic solvent.



## DETAILED DESCRIPTION OF THE INVENTION

A coating composition according to the present invention contains at least (A) a polymer, (B) a crosslinking agent, (C) a reaction accelerator, and (D) a solvent.

### 5 (A) Polymer

In the present invention, the polymer (A) is defined as a polymer containing carboxyl group, having a weight-average molecular weight, calculated in terms of styrene, of 5,000 to 200,000, an acid value KOH of 10 to 200 mg/g, and a glass  
10 transition temperature of 50 to 250°C. In a preferred embodiment of the present invention, the polymer has a weight-average molecular weight of approximately 10,000 to 100,000, and an acid value KOH of about 30 to 100 mg/g.

Further, in a preferred embodiment of the present  
15 invention, the polymer can be dissolved or, at least, swelled in aqueous alkaline solutions.

Preferable examples of such polymers are copolymers of acrylic or methacrylic esters and aromatic vinyl compounds. Examples of acrylic or methacrylic esters include methyl  
20 acrylate, methyl methacrylate, ethyl acrylate, ethyl methacrylate, butyl acrylate, butyl methacrylate, ethylhexyl methacrylate and phenyl acrylate. Examples of aromatic vinyl compounds include styrene,  $\alpha$ -methylstyrene and *p*-methylstyrene.

These copolymers may be of any type; they may be any of  
25 random copolymers produced by addition polymerization, block copolymers, and the like. Further, there is no particular limitation on the copolymerization process, and any one of solution polymerization process, emulsion polymerization process, and the like can be adopted to produce the copolymers.

30 The amount of the polymer to be used in the present invention may be properly established so that excellent protective films can be obtained. However, the amount of the polymer to be used is preferably about 5 to about 30% by weight, more preferably about 10 to about 25% by weight of the coating  
35 composition.

The glass transition temperature of the polymer was determined using ASTM D3418, "Standard Test Method for Transition Temperatures of Polymer by Thermal Analysis."

(B) Crosslinking Agent

5 In the present invention, the crosslinking agent is a polyfunctional epoxide-group-containing compound having, in one molecule, at least one benzene ring or 5-, 6-, or 7-membered heterocycle ring containing at least one heteroatom selected from nitrogen, oxygen or sulfur or cyclohexyl group or  
10 combinations thereof, and two or more epoxy groups. In one embodiment of the present invention, the epoxide-group-containing compound preferably has phenyl group and cyclohexyl group, more preferably at least two phenyl groups.

In a preferred embodiment of the present invention, the  
15 epoxide-group-containing compound has three or more epoxy functional groups.

Specific examples of the crosslinking agent include bisphenol acetone diglycidyl ether, phenol novolak epoxy resins, cresol novolak epoxy resins, triglycidyl isocyanurate,  
20 tetraglycidyl-diaminodiphenylene, tetraglycidyl-m-xylenediamine, tetraglycidyl-1,3-bis(aminoethyl)cyclohexane, 1,1,2,2-tetraphenyl-1,2-ethane tetraglycidyl ether (tetraphenyl-glycidyl ether ethane), triphenyl-1,2-ethane triglycidyl ether (triphenyl-glycidyl ether ethane), triphenyl-1,2-ethane triglycidyl ether, bisphenol hexafluoro-acetone diglycidyl ether, 1,3-bis(1-(2,3-epoxypropoxy)-1-trifluoromethyl-2,2,2-  
25 trifluoromethyl)benzene, 4,4-bis(2,3-epoxypropoxy)octafluorobiphenyl, triglycidyl-p-aminophenol, tetraglycidyl-m-xylenediamine, 2-(4-(2,3-epoxypropoxy)phenyl)-2-(4-(1,1-bis(4-(2,3-epoxypropoxy)phenyl)ethyl)phenyl)-propane,  
30 and 1,3-bis(4-(1-(4-(2,3-epoxypropoxy)phenyl)-1-(4-(1-(4-(2,3-epoxypropoxy)phenyl)-1-methylethyl)phenyl)ethoxy)-2-propanol.

In the present invention, the crosslinking agent may be  
35 used in any amount. It is however preferable to use the

crosslinking agent in an amount of about 1 to about 50 parts by weight, more preferably from about 5 to about 30 parts by weight for 100 parts by weight of the polymer.

(C) Reaction Accelerator

5 In the present invention, any compound can be used as the reaction accelerator as long as it accelerates the reaction between the carboxyl group contained in the polymer and the epoxide group contained in the crosslinking agent. In one embodiment of the present invention, an isocyanate or amine  
10 compound is preferably used as the reaction accelerator; and a blocked isocyanate, tertiary amine or blocked amine compound is more preferably used. Preferable examples of blocked isocyanates include hexamethylenediisocyanate blocked by phenol. Preferable examples of tertiary amines include triethanolamine. Preferable  
15 examples of blocked amines include hexamethylenediamine carbamate. The amount of the reaction accelerator to be added is preferably about 0.1 to 10 parts by weight for 100 parts by weight of the polymer.

(D) Solvent

20 In the present invention, an organic solvent is used to dissolve therein the above-described polymer and crosslinking agent. In a preferred embodiment of the present invention, the organic solvent is selected from the group consisting of propylene glycol-based, ethylene glycol-based, lactic acid-  
25 based, butyric acid-based, acetic acid-based, formic acid-based, and  $\gamma$ -butyrolactone solvents, and mixtures thereof. When any of these organic solvents is used, the resulting coating composition is stable over approximately 6 months after preparation, and can provide a uniform coating film having no  
30 unevenness in coating. It is thus possible to obtain protective films that are excellent in adhesion, evenness, transparency, durability, and resistance to abrasion, stains and chemicals.

Specific examples of the organic solvent for use in the present invention include glycol ether and acetate-based  
35 solvents such as propylene glycol methyl ether, propylene glycol ethyl ether, propylene glycol propyl ether, propylene glycol t-

butyl ether, dipropylene glycol methyl ether, dipropylene glycol propyl ether, tripropylene glycol methyl ether, propylene glycol methyl ether acetate, dipropylene glycol methyl ether acetate, ethylene glycol ethyl ether, ethylene glycol methyl ether, 5 ethylene glycol butyl ether, ethylene glycol isopropyl ether, ethylene glycol n-butyl ether, cellosolve acetate, methyl cellosolve acetate, ethyl cellosolve acetate, diethylene glycol methyl ether, diethylene glycol ethyl ether, diethylene glycol butyl ether, diethylene glycol dimethyl ether, diethylene glycol 10 diethyl ether, diethylene glycol monoacetate, diethylene glycol monoethyl ether acetate, propylene glycol phenyl ether, propylene glycol ethyl ether acetate, triethylene glycol butyl ether, 3-methyl-3-methoxybutyl acetate, and 3-methyl-3-methoxybutanol; lactic acid-based solvents such as ethyl 15 lactate, methyl lactate, butyl lactate and pentyl lactate; acetic acid-based solvents such as butyl acetate, amyl formate, isoamyl acetate, isobutyl acetate, methoxybutyl acetate, and butyl propionate; and butyric acid-based solvents such as isobutyl butyrate, butyl butyrate and ethyl pyruvate.

20 In a preferred embodiment of the present invention, propylene glycol methyl ether acetate, or an organic solvent mixture consisting of propylene glycol methyl ether acetate and other organic solvents is used as the organic solvent. Preferable examples of organic solvents that can be used 25 together with propylene glycol methyl ether acetate include propylene glycol-based, ethylene glycol-based, lactic acid-based, butyric acid-based, acetic acid-based, formic acid-based, and  $\gamma$ -butyrolactone solvents, and mixtures thereof.

The amount of the organic solvent to be used may properly 30 be adjusted depending upon the concentration of the polymer, crosslinking agent and reaction accelerator in the coating composition; for example, this amount is about 45 to 95% by weight of the coating composition.

#### Formation of Protective Film

35 The coating composition according to the present invention is applied to a substrate to form thereon a protective film.

Therefore, in another aspect of the present invention, a process for producing a substrate comprising a protective film is provided. This process comprises applying the coating composition of the present invention to a substrate to form thereon a protective film. A further aspect of the present invention relates to the use of the coating composition of the present invention for the production of a substrate comprising a protective film.

Non-limitative examples of substrates to which the coating composition of the present invention can be applied include color filters, glass, glass filters, black matrixes, and substrates made from a variety of polymers (polyimide, polyamide, polyethylene, acrylic resins, etc.), indium titanium oxide, silicon nitride, metallic oxides (titanium oxide, silicon oxide, chrome oxide, etc.), or metals (aluminum, copper, etc.).

The substrate covered with a protective film made from the coating composition of the present invention can be used, for instance, semiconductors, flat panel displays, and electronic devices.

To form the protective film, the coating composition according to the present invention is applied to the above-described substrate, and then hardened by heating.

Any coating method can be adopted to apply the coating composition of the invention; and a spin, roll or spray coating method, for instance, can be employed. A spin coating method is, above all, preferred because a uniform film can readily be obtained by this method.

The conditions under which the coating composition applied is hardened may properly be established by taking the type of the polymer, the composition of the coating composition, etc. into consideration. For instance, the coating composition applied may be hardened at a temperature of 150 to 270°C for a time period of about 20 minutes to 10 hours.

#### EXAMPLES

The present invention will now be explained more specifically by referring to the following examples. However,

the present invention is not limited to or limited by these examples in any way.

(a) Preparation of Coating Composition

A coating composition was prepared in the following manner.

- 5 First of all, a first mixture was obtained by mixing the below-described polymer, crosslinking agent, and reaction accelerator. To this mixture was added a mixture of solvents, the mixing ratio by weight of the solvents being as shown below, thereby obtaining a coating composition containing 17% by weight of the  
10 first mixture.

Example 1

- |   |      |
|---|------|
| Polymer I   | 89 g |
| (methacrylic acid-styrene copolymer,<br>weight-average molecular weight: approx. 15,000,<br>15 acid value: 55 mg/g) |      |
| Triphenylolethane triglycidyl ether   | 10.g |
| Blocked hexamethylenediisocyanate   | 1 g  |
| Propylene glycol methyl ether acetate   | 50%  |
| Ethylene glycol monoethyl ether acetate   | 50%  |

20 Example 2

- |                                       |      |
|---------------------------------------|------|
| Polymer I                             | 89 g |
| Triphenylolethane triglycidyl ether   | 10.g |
| Blocked hexamethylenediisocyanate     | 1 g  |
| Propylene glycol methyl ether acetate | 50%  |
| 25 Diethylene glycol monoethyl ether  | 50%  |

Example 3

- |  |      |
|--|------|
| Polymer I  | 89 g |
| 2-(4-(2,3-Epoxypropoxy)phenyl)-<br>2-(4-(1,1-bis(4-(2,3-epoxypropoxy)-<br>30 phenyl)ethyl)phenyl)propane |      |
| Blocked hexamethylenediisocyanate  | 1 g  |
| Propylene glycol methyl ether acetate  | 50%  |
| Ethylene glycol monoethyl ether acetate  | 50%  |

Example 4

- |                                 |      |
|---------------------------------|------|
| 35 Polymer I                    | 89 g |
| 2-(4-(2,3-Epoxypropoxy)phenyl)- |      |

	2-(4-(1,1-bis(4-(2,3-epoxypropoxy)-phenyl)ethyl)phenyl)propane	10 g
	Blocked hexamethylenediisocyanate	1 g
	Propylene glycol methyl ether acetate	50%
5	Diethylene glycol monoethyl ether	50%

#### Example 5

	Polymer I	89 g
	1,3-bis(4-(1-(4-(2,3-epoxypropoxy)phenyl)-1-(4-(1-(4-(2,3-epoxypropoxyphenyl)-1-methyl-ethyl)phenyl)ethyl)phenoxy)-2-propanol	10 g
10	Blocked hexamethylenediisocyanate	1 g
	Propylene glycol methyl ether acetate	50%
	Ethylene glycol monoethyl ether acetate	50%

#### Example 6

15	Polymer I	89 g
	1,3-bis(4-(1-(4-(2,3-epoxypropoxy)phenyl)-1-(4-(1-(4-(2,3-epoxypropoxyphenyl)-1-methyl-ethyl)phenyl)ethyl)phenoxy)-2-propanol	10 g
	Blocked hexamethylenediisocyanate	1 g
20	Propylene glycol methyl ether acetate	50%
	Diethylene glycol monoethyl ether	50%

#### Example 7

	Polymer I	89 g
	1,3-bis(1-(2,3-epoxypropoxy)-1-trifluoro-methyl-2,2,2-trifluoromethyl)benzene	10 g
25	Blocked hexamethylenediisocyanate	1 g
	Propylene glycol methyl ether acetate	50%
	Ethylene glycol monoethyl ether acetate	50%

#### Example 8

30	Polymer I	89 g
	1,3-bis(1-(2,3-epoxypropoxy)-1-trifluoro-methyl-2,2,2-trifluoromethyl)benzene	10 g
	Blocked hexamethylenediisocyanate	1 g
	Propylene glycol methyl ether acetate	50%
35	Diethylene glycol monoethyl ether	50%

#### Example 9

	Polymer II	89 g
	(methacrylic acid-styrene copolymer, weight-average molecular weight: 41,000, acid value: 85 mg/g)	
5	1,3-bis(4-(1-(4-(2,3-epoxypropoxy)phenyl)-1-(4-(1-(4-(2,3-epoxypropoxyphenyl)-1-methyl-ethyl)phenyl)ethyl)phenoxy)-2-propanol	10 g
	Blocked hexamethylenediisocyanate	1 g
	Propylene glycol methyl ether acetate	50%
10	Diethylene glycol monoethyl ether	50%

#### Example 10

	Polymer II	89 g
	1,3-bis(1-(2,3-epoxypropoxy)-1-trifluoro-methyl-2,2,2-trifluoromethyl)benzene	10 g
15	Blocked hexamethylenediisocyanate	1 g
	Propylene glycol methyl ether acetate	50%
	Ethylene glycol monoethyl ether acetate	50%

#### (b) Formation of Protective Film

A 1.2- $\mu$ m color filter serving as a substrate was spin-coated with the above-obtained coating composition at a rotational speed of 1,000 rpm/5 seconds, and placed on a hot plate at 110°C for 1 minute for drying. The coating composition thus dried was then subjected to thermal hardening at a temperature of 250°C for 1 hour on a hot plate.

#### (c) Tests for Evaluating the Properties of Protective Film

The above-obtained protective film was subjected to the following evaluation tests.

##### Evaluation 1: Evenness

The thickness of the protective film was measured to determine the average film thickness, and the standard deviation of film thickness.

##### Evaluation 2: Adhesion

The substrate covered with the protective film was left in a high-temperature (80°C) high-humidity (95 RH%) environment for 100 hours. The substrate was then withdrawn from this environment, and square notches were made on the protective film



with a knife. A peeling test using an adhesive tape was conducted on this notched protective film.

#### Evaluation 3: Measurement of Transmittance

5 The transmittance of the protective film was measured by a conventional method.

#### Evaluation 4: Abrasion Resistance

The hardness of the protective film was measured by means of a pencil hardness tester that meets the JIS requirements.

#### Evaluation 5: Chemical Resistance

10 1-mm square notches were made on the protective film formed on the substrate. This substrate was immersed in NMP (n-methylpyrrolidone) or acetone for 1 hour, and the conditions of the protective film were visually observed.

15 The results of the above-described evaluation tests were as shown in the following table.

Table

	1. Evenness		2. Adhesion	3. Transmittance	4. Surface Hardness	5. Chemical Resistance	6. Storage Stability	
	Average Film Thickness	Standard Deviation of Film Thickness					1 month	6 months
Ex. 1	1.5 $\mu\text{m}$	0.12 $\mu\text{m}$	Caused no Peeling for 100 hrs. at 80°C, 95 RH%	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 2	1.8 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 3	1.7 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 4	1.9 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 5	1.7 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 6	1.9 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 7	1.8 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 8	2.1 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 9	1.8 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O
Ex. 10	2.1 $\mu\text{m}$	0.15 $\mu\text{m}$	Caused no Peeling	98% or more	>4H	Observed no peeling or the like	O	O

# CLAIMS

1. A coating composition comprising:

(A) at least one polymer containing carboxyl group, having a weight-average molecular weight, calculated in terms of styrene, of 5,000 to 200,000, an acid value KOH of 10 to 200 mg/g, and a glass transition temperature of 50 to 250°C,

(B) a polyfunctional epoxide-group-containing compound having at least one benzene ring or 5-, 6-, or 7-membered heterocycle ring containing at least one heteroatom selected from nitrogen, oxygen or sulfur or cyclohexyl group or combinations thereof, and two or more epoxy groups, serving as a crosslinking agent,

(C) a reaction accelerator, and

(D) an organic solvent.

2. The coating composition according to claim 1, wherein the (A) polymer is a copolymer of an acrylic or methacrylic ester and an aromatic vinyl compound.

3. The coating composition according to claim 1 wherein the amount of (A) polymer is from about 5 to about 30% by weight of the coating composition.

4. The coating composition according to claim 1 wherein the amount of (A) polymer is from about 10 to about 25% by weight of the coating composition.

5. The coating composition according to claim 1, wherein (B) the epoxide-group-containing compound has three or more epoxide groups.

6. The coating composition according to claim 1, wherein (B) the epoxide-group-containing compound is selected from the group consisting of bisphenol acetone diglycidyl ether, phenol novolak epoxy resins, cresol novolak epoxy resins, triglycidyl isocyanurate, tetraglycidyl diamine, tetraglycidyl-*m*-xylenediamine, tetraglycidyl-1,3-bis(aminoethyl)cyclohexane, 1,1,2,2-tetraphenylolthane tetraglycidyl ether, triphenylolthane triglycidyl ether, triphenylolmethane triglycidyl ether, bisphenol hexafluoro-acetodiglycidyl ether, 1,3-bis(1-(2,3-epoxypropoxy)-1-trifluoromethyl-2,2,2-

trifluoromethyl)benzene, 4,4-bis(2,3-epoxypropoxy)octafluorobiphenyl, triglycidyl-p-aminophenol, tetraglycidyl-m-xylenediamine, 2-(4-(2,3-epoxypropoxy)phenyl)-2-(4-(1,1-bis(4-(2,3-epoxypropoxy)phenyl)ethyl)phenyl)-propane, 5 and 1,3-bis(4-(1-(4-(2,3-epoxypropoxy)phenyl)-1-(4-(1-(4-(2,3-epoxypropoxyphenyl)-1-methylethyl)phenyl)ethyl)phenoxy)-2-propanol.

7. The coating composition according to claim 1, wherein (B) the epoxide-group-containing compound is present in an amount of about 1 to about 50 parts by weight of the polymer. 10

8. The coating composition according to claim 1, wherein (B) the epoxide-group-containing compound is present in an amount of about 5 to about 30 parts by weight of the polymer.

9. The coating composition according to claim 1, wherein (C) the reaction accelerator is an isocyanate or amine compound. 15

10. The coating composition according to claim 1, wherein (C) the reaction accelerator is a blocked isocyanate, tertiary amine, or blocked amine compound.

11. The coating composition according to claim 1, wherein (D) the organic solvent is selected from the group consisting of propylene glycol methyl ether, propylene glycol ethyl ether, propylene glycol propyl ether, propylene glycol t-butyl ether, dipropylene glycol methyl ether, dipropylene glycol propyl ether, tripropylene glycol methyl ether, propylene glycol methyl ether acetate, dipropylene glycol methyl ether acetate, ethylene glycol ethyl ether, ethylene glycol methyl ether, ethylene glycol butyl ether, ethylene glycol isopropyl ether, ethylene glycol n-butyl ether, cellosolve acetate, methyl cellosolve acetate, ethyl cellosolve acetate, diethylene glycol methyl ether, diethylene glycol ethyl ether, diethylene glycol butyl ether, diethylene glycol dimethyl ether, diethylene glycol diethyl ether, diethylene glycol monoacetate, diethylene glycol monoethyl ether acetate, propylene glycol phenyl ether, propylene glycol ethyl ether acetate, triethylene glycol butyl ether, 3-methyl-3-methoxybutyl acetate, 3-methyl-3-methoxybutanol, ethyl lactate, methyl lactate, butyl lactate 35

pentyl lactate, butyl acetate, amyl formate, isoamyl acetate, isobutyl acetate, methoxybutyl acetate, butyl propionate, isobutyl butyrate, butyl butyrate, ethyl pyruvate,  $\gamma$ -butyrolactone, and mixtures thereof.

5        12. The coating composition according to claim 1, wherein  
(D) the organic solvent is propylene glycol methyl ether acetate, or a mixture of propylene glycol methyl ether acetate and other organic solvents.

10        13. The coating composition according to claim 1, wherein  
(D) the organic solvent is a mixture of propylene glycol methyl ether acetate and an organic solvent other than propylene glycol methyl ether acetate, selected from the group consisting of propylene glycol methyl ether, propylene glycol ethyl ether, propylene glycol propyl ether, propylene glycol t-butyl ether,  
15        dipropylene glycol methyl ether, dipropylene glycol propyl ether, tripropylene glycol methyl ether, propylene glycol methyl ether acetate, dipropylene glycol methyl ether acetate, ethylene glycol ethyl ether, ethylene glycol methyl ether, ethylene glycol butyl ether, ethylene glycol isopropyl ether, ethylene  
20        glycol n-butyl ether, cellosolve acetate, methyl cellosolve acetate, ethyl cellosolve acetate, diethylene glycol methyl ether, diethylene glycol ethyl ether, diethylene glycol butyl ether, diethylene glycol dimethyl ether, diethylene glycol diethyl ether, diethylene glycol monoacetate, diethylene glycol  
25        monoethyl ether acetate, propylene glycol phenyl ether, propylene glycol ethyl ether acetate, triethylene glycol butyl ether, 3-methyl-3-methoxybutyl acetate, 3-methyl-3-methoxybutanol, ethyl lactate, methyl lactate, butyl lactate  
30        pentyl lactate, butyl acetate, amyl formate, isoamyl acetate, isobutyl acetate, methoxybutyl acetate, butyl propionate, isobutyl butyrate, butyl butyrate, ethyl pyruvate,  $\gamma$ -butyrolactone, and mixtures thereof.

14. A color filter comprising a protective film that is made from the coating composition according to claim 1.

35        15. A process for producing a substrate comprising a protective film, comprising applying a coating composition

according to claim 1 to a substrate to form thereon a protective film.

16. The process according to claim 15, wherein the substrate is a color filter.

5 17. A substrate comprising a protective film, which is produced by the process according to claim 15.

18. A process for forming a protective film on a substrate comprising applying to the substrate a sufficient amount of a coating composition according to claim 1.

10 19. The process according to claim 18, wherein the substrate is a color filter.

#### ABSTRACT OF THE INVENTION

A coating composition comprising at least one polymer having carboxyl group, a polyfunctional epoxide-group-containing compound having at least one benzene or 5-, 6-, or  
5 7-membered heterocyclic ring containing at least one heteroatom selected from nitrogen, oxygen or sulfur or cyclohexyl group or combinations thereof, and two or more epoxy groups, a reaction accelerator, and a solvent. This  
10 coating composition is excellent in storage stability, and can provide an excellent protective film.

## **EXHIBIT IV**



**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.1)**

Applicant(s): Takamasa Harada et al

Docket No.  
1998JP313/CIPSerial No.  
TO BE ASSIGNEDFiling Date  
June 27, 2003Examiner  
TO BE ASSIGNEDGroup Art Unit  
TO BE ASSIGNED

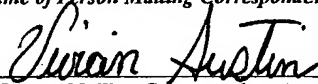
Invention: COATING COMPOSITION

I hereby certify that the following correspondence:

UTILITY PATENT APPLICATION CONSISTING OF PAGES 1 THROUGH 18

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

June 27, 2003*(Date)*Vivian Austin*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EV 068893142 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

## **EXHIBIT V**

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): Takamasa HARADA et al	Docket No. 1998JP310/CIP
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Serial No. 10/608,392	Filing Date June 27, 2003	Examiner TO BE ASSIGNED	Group Art Unit TO BE ASSIGNED
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Invention: COATING COMPOSITION

I hereby certify that the following correspondence:

Specification - pages 1 through 18

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

September 3, 2003

*(Date)*

Vivian Austin

*(Typed or Printed Name of Person Mailing Correspondence)*

*Vivian Austin*

*(Signature of Person Mailing Correspondence)*

EV 068893195 US

*("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.

Serial No. TO BE ASSIGNED Attorney Docket No. 1998JP313CIP  
Filed: June 27, 2003

Amendment to the Specification:

Please replace the paragraph on page 1, lines 5 to 7 with the following rewritten paragraph:

This application is a continuation-in-part application of Serial No. 09/763,927, filed February 26, 2001, which is the National Stage of International Application No. PCT/JP99/04024, filed 27 July 1999, the contents of which are hereby incorporated herein by reference.

# COPY

## CERTIFICATE OF MAILING/FACSIMILE TRANSMISSION (37 CFR 1.8)

I hereby certify that this paper (along with any paper referred to as being transmitted therewith) is ( ) being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop \_\_\_\_\_, Commissioner for Patents, P.O. Box. 1450, Alexandria, Virginia 22313-1450 OR ( ) being transmitted by facsimile to the U.S. Patent and Trademark Office. (Fax No. 703-XXX-XXXX) [Group XXXX] (\_\_\_\_\_ pages). This facsimile is being sent from (908) 429-3650.

\_\_\_\_\_  
(Print Name)

Date: September 24, 2003

\_\_\_\_\_  
(Signature)

RECEIVED

SEP 25 2003

OFFICE OF PETITIONS

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application

Takamasa HARADA et al.

Art Unit: TO BE ASSIGNED

Serial No. 10/608,392, filed June 27, 2003

Examiner: TO BE ASSIGNED

For: COATING COMPOSITION

### PETITION UNDER 37 C.F.R. § 1.181

September 24, 2003

Office of Petitions  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

**STATEMENT OF FACTS**

This is a petition for the above captioned application to be accorded a filing date of June 27, 2003.

With regard to this petition, applicants enclose copies of the following documents which were filed with the United States Patent and Trademark Office on September 3, 2003:

Exhibit I: Letter dated September 3, 2003

Exhibit II: Copy of postcard stamped "OIPE JC141 Patent and Trademark Office SEP 03 2003" showing receipt of documents listed in Exhibit I above.

Exhibit III: The following documents listed in Exhibit I -

1. Copy of postcard receipt from the USPTO indicating 18 pages of Specification was not received.
2. Copy of postcard sent to USPTO.
3. Copy of Specification (pages 1 - 18) sent with Exhibit I.

Exhibit IV: Copy of Certificate of Mailing "Express Mail" (37 CFR 1.10) for Utility Patent Application Consisting of Pages 1 through 18 dated June 27, 2003

Exhibit V: Copy of Certificate of Mailing "Express Mail" (37 CFR 1.10) for Specification - Pages 1 through 18 dated September 3, 2003

The rest of the documents outlined in Exhibit I are within the prosecution history file at the USPTO.

Applicants have not enclosed the remaining documents listed in Exhibit I since they are within the prosecution history file at the USPTO.

Applicants outlined the circumstances regarding this case in Exhibit I<sup>1</sup>. In Exhibit I, page 3, applicants requested that the LETTER (Exhibit I herein) be treated as a petition. The Patent Office should consider this Petition and the information found in the LETTER (Exhibit I) and the previously filed documents to be applicants' more formal petition and statement of facts.

Given the information presented in Exhibit I and the foregoing documents, applicants believe they are entitled to the filing date of June 27, 2003 for the present application. If the Patent Office is of the opinion that applicants are not entitled to the filing date of June 27, 2003, then they submit that they are entitled to a filing date of September 3, 2003, the date that all required documents for a filing date under 37 C.F.R. § 1.53.

**PETITION FEE UNDER 37 C.F.R. § 1.17(h)**

In Exhibit I, page 3, the Patent Office was authorized to charge the appropriate petition fee under 37 C.F.R. § 1.17(h) to Deposit Account No. 03-2060. The Patent Office is again authorized to charge the appropriate petition fee under 37 C.F.R. § 1.17(h) to Deposit Account No. 03-2060 as well as debit any underpayment or credit any overpayment to the same Deposit Account for those necessary filing fees under 37


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<sup>1</sup> Applicants note that from the postcard sent to the USPTO (Exhibit I) as well as its Certificate of Mailing by "Express Mail" (37 CFR 1.10) that the Letter (Exhibit I) is 2 pages, although applicants enclose herewith a 3 page letter. Applicants believe the "2 pages" to be a typographical error and also believe that 3 pages of the Letter (Exhibit I) are within the prosecution history file within the USPTO.

Serial No. 10/608,392  
Filed June 27, 2003

C.F.R. §§ 1.16 and 1.17. A duplicate copy of this Petition under 37 C.F.R. § 1.181 (without Exhibits) is enclosed for accounting purposes.

Respectfully submitted,



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